# RACE TO THE TOP – DISTRICT: APPLYING AS A CONSORTIUM

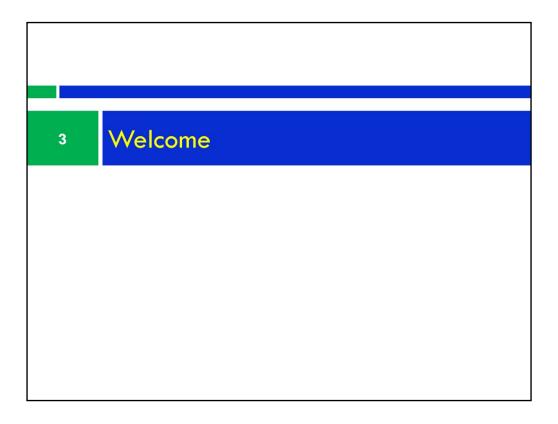


August 2012

# Reminders

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- Webinar slides are available at: www.ed.gov/programs/racetothetop-district/resources
- If you are having difficulties hearing the audio through your computer, we have a limited number of spaces available via phone.
  - □ Please dial: 1-800-369-1153; Participant code: 7509447
- Questions can only be submitted through the webinar chat feature.
- We will only be answering questions that are specific to consortia applicants. If you have other questions, please send them to <u>Racetothetop.district@ed.gov.</u>



Good afternoon, everyone. I am Ann Whalen, Director of the Implementation and Support Unit at the US Department of Education and I am joined by my colleagues Jessica McKinney and Melissa Siry. Thank you so much for participating in today's call on the Race to the Top – District competition. During this presentation, we are going to review the components of the Race to the Top – District competition that are relevant for applicants that are applying as a consortium.

As mentioned in our previous webinars on August 16 and 21, although the vast majority of the competition is the same for individual applicants and consortia applications, there are a few differences that are worth highlighting.

# Agenda Overview of Race to the Top – District Competition Overview of the Notice Inviting Applications (NIA) Eligibility Requirements Absolute Priorities Selection Criteria Applying as a Consortium Program and Application Requirements Memorandum of Understanding Best Practices Questions

Today, in addition to a quick overview of the program, we will walk through the elements of the competition that may assist consortia applicants as they develop their proposals. This includes elements of the eligibility requirements, application requirements and assurances, components of the memorandum of understanding, and examples from the application. We will also have time at the end of the presentation to answer questions.

If we are unable to answer your questions on this webinar, please send them to the Race to the Top - District email address at Racetothetop.district@ed.gov, which is also available on the ed.gov, Race to the Top - District website.

# What is a consortium?

- All members of the consortium must be local educational agencies (as defined).
- □ Either of the following can constitute a "consortium:"
  - One member (i.e. an LEA) of the consortium applies for a grant on behalf of the consortium (Lead LEA); or
  - ☐ The consortium establishes itself as a separate, eligible legal entity and applies for the grant on its own behalf.
- Local Educational Agency (LEA) is an entity as defined in section 9101(26) of the Elementary and Secondary Education Act (ESEA), except that an entity described under section 9101(26)(D) must be recognized under applicable State law as local educational agency.

Before we get started, we want to remind everyone about consortia. A consortium is a group of school districts, or LEAs, that apply to the Race to the Top - District competition together, as one applicant. All members of the consortium must be local educational agencies (LEAs). Consortia may include LEAs from multiple States, so long as each member of the consortium is an LEA.

To establish a consortium, LEAs can:

- 1) Designate one member of the consortium to apply for a grant on behalf of the consortium, as a Lead LEA; or
- 2) Establish itself as a separate, eligible legal entity and apply for the grant on its own behalf.

Whether a consortium qualifies as a separate, eligible legal entity will depend on facts specific to that consortium. Since this is a competition, the Department will not advise individual prospective applicants if they qualify as separate, eligible legal entities.

An applicant may choose to partner with organizations that do not meet the eligibility requirements of the Race to the Top - District competition, such as an educational service agencies that are not LEAs, regional centers, institutions of higher education, or local or national not-for-profit organizations. However, for purposes of the Race to the Top –

District competition, an intermediate service unit, education service agency, or charter management organization only would be eligible to apply for an award under the Race to the Top – District competition if it meets the definition of LEA in the Notice Inviting Applications (NIA). Under that definition, an eligible entity must be recognized under applicable State law as an LEA and meet the definition of LEA is Section 9101(26) of the ESEA.

# Race to the Top - District Program

- The Race to the Top District competition is aimed squarely at classrooms and the all-important relationship between educators and students. The notice invites applicants to demonstrate how they can personalize education for all students in their schools.
- The Race to the Top District competition will encourage and reward those local educational agencies (LEAs) or consortia of LEAs that have the leadership and vision to implement the strategies, structures, and systems needed to implement personalized, studentfocused approaches to learning and teaching that will produce excellence and ensure equity for all students.

For context, the Race to the Top - District program focuses on classrooms and the relationships between educators and students. The competition will encourage and reward those districts or consortia of districts that have the leadership and vision to implement the strategies, structures, and systems needed to implement personalized, student focused approaches to learning and teaching that will produce excellence and ensure equity for all students.

# Race to the Top - District Program

- Applicants must design a personalized learning environment that will use collaborative, data-based strategies and 21st century tools such as online learning platforms, computers, mobile devices, and learning algorithms, to deliver instruction and supports tailored to the needs and goals of each student, with the aim of enabling all students to graduate college- and career-ready.
- Implementation of a personalized learning environment is not achieved through a single solution or product but rather requires a multi-faceted approach that addresses the individual and collective needs of students, educators, and families and that dramatically transforms the learning environment in order to improve student outcomes.

Applicants must design a personalized learning environment that will use collaborative, data-based strategies and 21st century tools to deliver instruction and supports tailored to the needs and goals of each student, with the aim of enabling all students to graduate college- and career-ready.

Implementation of a personalized learning environment is not achieved through a single solution or product but rather requires a multi-faceted approach that addresses the individual and collective needs of students, educators, and families and that dramatically transforms the learning environment in order to improve student outcomes.

A district or consortium of districts receiving an award under this competition will build on the lessons learned from and the progress of States and districts in implementing reforms in the four core educational assurance areas through Race to the Top and other key programs.

A successful applicant will provide teachers the information, tools, and supports that enable them to meet the needs of each student and substantially accelerate and deepen each student's learning. These districts will have the policies, systems, infrastructure, capacity, and culture to enable teachers, teacher teams, and school leaders to continuously focus on improving individual student achievement and closing achievement gaps. These districts will also make equity and access a priority and aim to prepare each student to master the content and skills required for college- and career-readiness, as well as provide each student the opportunity to pursue a rigorous course of study, and accelerate and

deepen students' learning through attention to their individual needs. As important, they will create opportunities for students to identify and pursue areas of personal academic interest--all while ensuring that each student masters critical areas identified in college- and career-ready standards or college- and career-ready high school graduation requirements.

## Resources

- Application Resources:
  - Executive Summary
  - □ Background on the Race to the Top District Competition
  - Race to the Top District Application
  - □ Frequently Asked Questions (FAQs)
  - □ Notice Inviting Application (NIA)
- The Department conducted webinars on August 16 and 21, 2012 that provided an overview of the Race to the Top District competition. Materials from that webinar are available at: <a href="http://www2.ed.gov/programs/racetothetop-district/resources.html">http://www2.ed.gov/programs/racetothetop-district/resources.html</a>
- Submit questions by email to: <u>racetothetop.district@ed.gov</u>
- Information on future webinars including completing the budget, updates to FAQs, and all other resources are available at: www.ed.gov/programs/racetothetop-district

To support Districts in completing the Race to the Top District application, the Department has released several documents that provide information about the program.

- 1) The Executive Summary provides key information and definitions from the Notice Inviting Applications.
- 2) The background document explains how the program's priorities were developed and helps applicants understand the Department's approach to the competition.
- 3) The application includes all of the required components as well as detailed instructions for completing and submitting the application to the Department.
- 4) The Frequently Asked Questions documents include answers to common questions about the competition.
- 5) The Notice Inviting Applications is the regulatory document for the competition.

In addition, the Department conducted webinars on August 16 and 21, 2012 that provided an overview of the Race to the Top – District competition. Materials from those webinars are available on the Race to the Top – District website.

If you have any questions, please email racetothetop.district and we will respond as soon as possible.

The Department will also continue to update the FAQ document and will offer additional technical assistance resources over the next few months. Our next webinar will be focused on completing the budget portion of the application, including the narratives, tables, and

optional budget supplement, and will take place on September 12. More information about this webinar will be available on our website soon.

Again, all of this information will be able on the Race to the Top – District website.

# Competition Timeline

- Intent to Apply Due: August 30, 2012
  - □ Form located at: <a href="http://www2.ed.gov/surveys/intent-rttd.html">http://www2.ed.gov/surveys/intent-rttd.html</a>
- Applications Due: October 30, 2012
- Grant Award Announcements: December 2012

We will be able to develop a more efficient process for reviewing grant applications if we know the approximate number of applicants that intend to apply for funding under this competition. Therefore, the Department strongly encourages each potential applicant to notify us of the applicant's intent to submit an application for funding by completing a Web-based form by today, August 30, 2012. When completing this form, applicants will provide (1) the applicant's name and address; (2) whether the applicant is applying as an individual LEA or as a consortium of LEAs; (3) expected budget request; and (4) contact person, including a phone number and email address. Applicants that do not complete this form may still apply for funding. There are no consequences if an LEA submits an intent to apply, but does not actually apply for a grant. After the August 30, 2012 deadline the Department will publicly release a list of applicants intending to apply for Race to the Top – District awards. The list will only include the LEA name, type of application, and expected budget request.

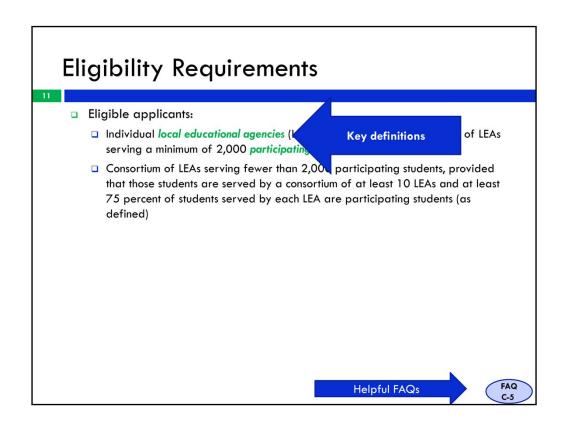
Applications must be received by the Department no later than October 30, 2012. We will be providing an application tip sheet for applicants that will be available on the Race to the Top - District website in September.

Finally, the Department will award Race to the Top - District grants by December 31, 2012

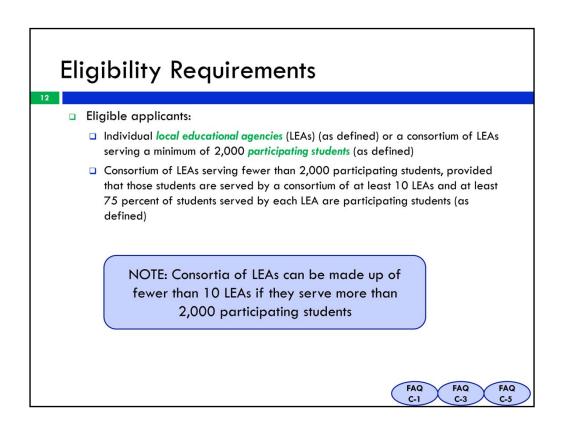
# Agenda Overview of Race to the Top — District Competition Overview of the Notice Inviting Applications (NIA) Eligibility Requirements Absolute Priorities Selection Criteria Applying as a Consortium Program and Application Requirements Memorandum of Understanding Best Practices Questions

For today's conversation, we will not review the Notice Inviting Applications in great detail. Instead, we will focus on the key aspects that pertain to consortia. For more detailed information on the competition, including requirements and selection criteria, we encourage you to review the August 16<sup>th</sup> and 21<sup>st</sup> webinars, executive summary, and Frequently Asked Questions.

First, we will focus on eligibility criteria. In order to be considered for a grant, all applicants must meet the eligibility criteria.



As we walk through the presentation, we will highlight the key definitions and helpful FAQs, and we will include notes and references that highlight information that is pertinent for consortia applicants.



As mentioned earlier, in order to apply, applicants must meet the eligibility requirements.

Individual LEAs and consortia of LEAs must serve a minimum of 2,000 participating students.

Please note, consortia of LEAs may serve fewer than 2,000 participating students, provided that those students are served by a consortium of at least 10 LEAs and at least 75 percent of students served by each LEA are participating students. Consortia of LEAs can be made up of fewer than 10 LEAs if they serve more than 2,000 participating students.

# **Eligibility Requirements**

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- At least 40 percent of participating students across all participating schools (as defined) must be from low-income families
- Required signatures for the LEA or lead LEA in a consortium are those of the superintendent or Chief Executive Officer (CEO), local school board president, and local teacher union or association president (where applicable).
- An LEA may only participate in one Race to the Top District application

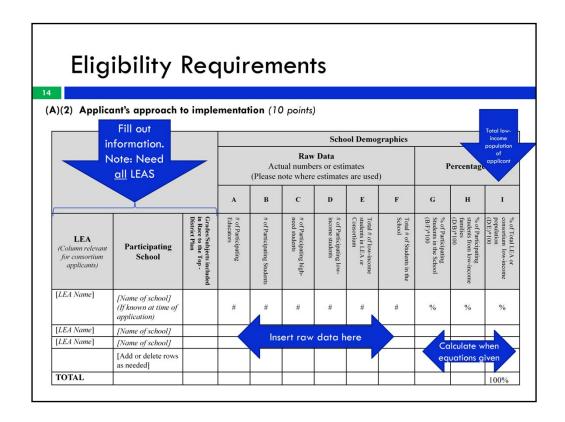


At least 40 percent of participating students across all participating schools must be from low-income families.

We define **participating students** as students enrolled in a participating school and who are directly served by an applicant's plan. For the purpose of this competition, **participating schools** means a school that is identified by the applicant and chooses to work with the applicant to implement the plan, either in one or more specific grade spans or subject areas or throughout the entire school and affecting a significant number of its students.

The application must be signed by the superintendent or CEO, local school board president, and local teachers union or association president (if applicable).

An LEA may only participate in **one** RTT-D application.



This table includes the data that you will need to calculate the requirement that at least 40 percent of participating students across all participating schools must be from low-income families. This calculation should be done across all participating schools in all LEAs. Each LEA does not need to meet this requirement individually; it must be met across the consortia.

When completing this table, include the name of each LEA, each participating school, and provide the raw data. Based on those data the applicant will calculate the percentages, including the percentage of students that are from low-income families.

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			Actual numbers or estimates (Please note where estimates are used)				Percentages				
			A	В	С	D	E	F	G	Н	I
LEA (Column relevant for consortium applicants)	Participating School	Grades/Subjects included in Race to the Top - District Plan	# of Participating Educators	# of Participating Students	# of Participating high- need students	# of Participating low- income students	Total # of low-income students in LEA or Consortium	Total # of Students in the School	% of Participating Students in the School (B/F)*100	% of Participating students from low-income families (D/B)*100	consortium low-income population (D/E)*100
School District A	Elementary 1	K-5 Math	25	700	575	500	1,150	700	700/700= 100%	500/700= 71.4%	500/115 =43.489
School District A	Middle School 2	6-8 Math	10	1000	600	350	1,150	1500	1000/1500 =66.67%	350/1000 =35%	350/115 =30.43%
School District B	Middle School 3	7-8 Math	5	500	400	300	1,150	900	500/900= 55.56%	300/500 =60%	300/1150 =26.09%
TOTAL			45	2,200	1575	1,150	1,150	3,100	2200/3100 =70.97%	1150/2200 = 52.27%	100%

This is an example of the table that includes all of the required information. We are now going to focus on calculating the percent of low-income students in a consortium.

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						Scho	ool Demog	raphics			
			Raw Data Actual numbers or estimates				Percentages				
			(Please note where estimates are used)				1 cicentages				
			A	В	С	D	E	F	G	Н	I
<b>LEA</b> (Column relevant for consortium applicants)	Participating School	Grades/Subjects included in Race to the Top - District Plan	# of Participating Educators	# of Participating Students	# of Participating high- need students	# of Participating low- income students	Total # of low-income students in LEA or Consortium	Total # of Students in the School	% of Participating Students in the School (B/F)*100	% of Participating students from low-income families (D/B)*100	consortium low-income population (D/E)*100
School District A	Elementary 1			700		500	1,150			500/700= 71.4%	500/115 =43.489
School District A	Middle School 2			1000		350	1,150	,		350/1000 =35%	350/115 =30,43%
School District B	Middle School 3			500		300	1,150			300/500 =60%	300/1150
TOTAL				2,200		1,150	1,150			1150/2200 = 52.27%	100%

If the consortium includes two LEAs, School Districts A and B and three participating schools, like this example, you would first calculate the percent for each school. For example, Elementary 1 in School District A has 700 participating students. Of those, 500 students are low-income. To calculate the percent, divide 500 by 700. This results in 71.4% of the participating students are from low-income families.

To calculate if the consortium is eligible, divide the total number of low-income participating students, found in column D, by the total number of participating students, found in column B. In this example, 52.27% of the participating students across the consortia are from low-income families. Note that the percentage is calculated across the consortium, not by individual school.

# Eligibility Requirements -

Commitment to Core Educational Assurance Areas

An applicant must demonstrate its commitment to the core educational assurance areas (as defined), including, for each LEA included in an application, an assurance signed by the LEA's superintendent or CEO that--

- (i) The LEA, at a minimum, will implement no later than the 2014-2015 school year--
  - (A) A teacher evaluation system (as defined);
  - (B) A principal evaluation system (as defined); and
  - (C) A superintendent evaluation (as defined);
- (ii) The LEA is committed to preparing all students for college or career, as demonstrated by--
  - (A) Being located in a State that has adopted college- and career-ready standards (as defined); or
  - (B) Measuring all student progress and performance against college- and career-ready graduation requirements (as defined)

Additionally, to be eligible, applicants must demonstrate a commitment to the core educational assurance areas. For consortia applicants, each LEA must include these assurances in the memorandum of understanding, which we will discuss later in this presentation. LEAs must assure that:

- 1) Each LEA in a consortium must assure that it will implement teacher, principal, and superintendent evaluation systems by the 2014-2015 school year, however the evaluation systems do not need to be the same across all LEAs. Please pay special attention to these definitions in the Notice Inviting Applications.
- 2) The LEA is committed to preparing all students for college or career, as demonstrated by-
  - (A) Being located in a State that has adopted college- and career-ready standards; or
  - (B) Measuring all student progress and performance against college- and career-ready graduation requirements

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# Eligibility Requirements -

Commitment to Core Educational Assurance Areas

An applicant must demonstrate its commitment to the core educational assurance areas (as defined), including, for each LEA included in an application, an assurance signed by the LEA's superintendent or CEO that--

- (iii) The LEA has a robust data system that has, at a minimum--
  - (A) An individual teacher identifier with a teacher-student match; and
  - (B) The capability to provide timely data back to educators and their supervisors on student growth (as defined);
- (iv) The LEA has the capability to receive or match student level preschool through 12th grade and higher education data; and
- (v) The LEA ensures that any disclosure of or access to personally identifiable information in students' education records complies with the Family Educational Rights and Privacy Act (FERPA).



## And assure that-

- 3) The LEA has a robust data system that has, at a minimum--
  - (A) An individual teacher identifier with a teacher-student match; and
  - (B) The capability to provide timely data back to educators and their supervisors on student growth (as defined in the notice);
- (4) The LEA has the capability to receive or match student-level preschool through 12th grade and higher education data; and
- (5) The LEA ensures that any disclosure of or access to personally identifiable information in students' education records complies with the Family Educational Rights and Privacy Act (FERPA).

Consortia applicants are not required to create a single data system to share student-level data (as defined in the notice) among participating LEAs. We encourage LEAs to use existing data systems, such as a Statewide Longitudinal Data System, if those systems enable the applicant to meet the relevant eligibility requirements. If a consortium applicant decides to create a single data system that would require student-level data sharing among participating LEAs, the system must comply with FERPA.

Please note, the lead LEA or legal representative makes these assurances in the application, while other participating LEAs make these assurances in the memorandum of understanding. We'll talk more about this in a few minutes.

The Department will review all eligibility and application assurances and an application that does not meet these requirements will not be eligible for funding.

# Agenda Overview of Race to the Top — District Competition Overview of the Notice Inviting Applications (NIA) Eligibility Requirements Absolute Priorities Selection Criteria Applying as a Consortium Program and Application Requirements Memorandum of Understanding Best Practices Questions

We'll now discuss the absolute priorities.

# Absolute Priority 1: Personalized Learning Environments

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To meet this priority, an applicant must coherently and comprehensively address how it will build on the core educational assurance areas (as defined) to create learning environments that are designed to significantly improve learning and teaching through the personalization of strategies, tools, and supports for students and educators that are aligned with college- and career-ready standards (as defined) or college- and career-ready graduation requirements (as defined); accelerate student achievement and deepen student learning by meeting the academic needs of each student; increase the effectiveness of educators; expand student access to the most effective educators; decrease achievement gaps across student groups; and increase the rates at which students graduate from high school prepared for college and careers.

There is one Absolute Priority that all applicants must address.

This absolute priority cuts across the entire application and should not be addressed separately. Peer reviewers will assess whether applicants meet this absolute priority after the proposal has been fully reviewed and evaluated.

# Absolute Priorities 2-5

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Each applicant must indicate one priority from Absolute Priorities 2-5

- □ Absolute Priority 2, Non-Rural LEAs in Race to the Top States
- □ Absolute Priority 3, Rural LEAs in Race to the Top States
- □ Absolute Priority 4, Non-Rural LEAs in non-Race to the Top States
- □ Absolute Priority 5, Rural LEAs in non-Race to the Top States

## NOTES:

- Absolute Priorities 2-5 are not judged by peer reviewers.
- Race to the Top Phase 1, 2, and 3 States are: Arizona, Colorado,
  Delaware, Florida, Georgia, Hawaii, Illinois, Kentucky, Louisiana,
  Maryland, Massachusetts, New Jersey, New York, North Carolina, Ohio,
  Pennsylvania, Rhode Island, Tennessee and the District of Columbia.

Absolute Priorities 2-5 are not judged by peer reviewers. Applicants indicate in the Application Assurances in Parts V or VI of the application which one of Absolute Priorities 2 -5 applies to them.

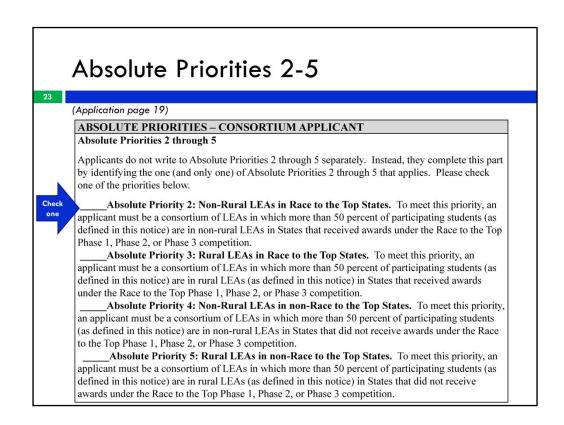
In selecting grantees, the Department may consider high-ranking applications meeting Absolute Priorities 2-5 separately when making grants.

## As a reminder -

<u>Rural local educational agency</u> means an LEA, at the time of the application, that is eligible under the Small Rural School Achievement (SRSA) program or the Rural and Low-Income School (RLIS) program authorized under Title VI, Part B of the ESEA.

If more than 50 percent of an applicant's participating students (as defined in the notice) are in:	the applicant should select Absolute Priority
Non-rural LEAs in States that received awards under the Race to the Top Phase 1, Phase 2, or Phase 3 competitions	2
Rural LEAs (as defined in the notice) in States that received awards under the Race to the Top Phase 1, Phase 2, or Phase 3 competitions	3
Non-rural LEAs in States that did not receive awards under the Race to the Top Phase 1, Phase 2, or Phase 3 competitions	4
Rural LEAs (as defined in the notice) in States that did not receive awards under the Race to the Top Phase 1, Phase 2, or Phase 3 competitions	5

As a consortium, to identify which absolute priority you are in, calculate where 50% or more of your participating students are from.



The Race to the Top - District application includes specific assurance sections for consortia applications. Although the requirements are the same, we wanted to make the application as clear as possible for consortia applicants. Once you have your consortium, just check the applicable absolute priority.

Remember to include a list of all participating LEAs and their NCES District IDs in the Appendix.

# Agenda Overview of Race to the Top — District Competition Overview of the Notice Inviting Applications (NIA) Eligibility Requirements Absolute Priorities Selection Criteria Applying as a Consortium Program and Application Requirements Memorandum of Understanding Best Practices Questions

We will now briefly review the selection criteria.

# Selection Criteria

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- A. Vision (40 points)
- B. Prior Record of Success and Conditions for Reform (45 points)
- C. Preparing Students for College and Careers (40 points)
- D. LEA Policy and Infrastructure (25 points)
- E. Continuous Improvement (30 points)
- F. Budget and Sustainability (20 points)
- Competitive Preference Priority (10 points)
- Optional Budget Supplement (scored separately, 15 points)

Selection criteria and the competitive preference priority are what applicants respond to in order to earn points. The peer reviewers will be reading the applications to judge and score your proposal against these criteria. There are six selection criteria, a competitive preference priority, and an optional budget supplement. The selection criteria focus on an applicants vision, prior record of success, preparing students for college and careers, LEA policy and infrastructure, continuous improvement and budget and sustainability.

The Competitive preference priority - Results, Resource Alignment, and Integrated Services-focuses on the applicant's integration of public or private resources in a partnership designed to augment the schools' resources by providing additional student and family supports to schools that address the social, emotional, or behavioral needs of the participating students, giving highest priority to high-need students in participating schools.

The optional budget supplement provides an opportunity for an applicant to apply for funding to address a specific area that is supplemental to its plan for addressing Absolute Priority 1.

Consortia applicants should submit one proposal that includes all LEAs in the consortium.

For more information about the selection criteria and competitive preference priority, please see the Executive Summary, Overview of the Race to the Top – District webinars, and FAQs that are available on the Race to the Top - District website.

## Selection Criteria

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### (B)(3) State context for implementation (10 points)

The extent to which each LEA has demonstrated evidence of—

Successful conditions and sufficient autonomy under State legal, statutory, and regulatory requirements to implement the personalized learning environments described in the applicant's proposal.

## (C)(1) Learning (20 points)

The extent to which the applicant has a high-quality plan for improving learning and teaching by personalizing the learning environment in order to provide all students the support to graduate college- and career-ready. This plan must include an approach to implementing instructional strategies for all participating students (as defined) that enable participating students to pursue a rigorous course of study aligned to college-and career-ready standards (as defined) and college- and career-ready graduation requirements (as defined) and accelerate his or her learning through support of his or her needs.

As a consortium applicant, it is important to note that some selection criteria ask for responses detailing the activities of <u>each</u> LEA. For example, B3 asks for the extent to which <u>each</u> LEA has demonstrated evidence of successful conditions and sufficient autonomy under State legal, statutory, and regulatory requirements to implement the personalized learning environments described in the applicant's proposal.

Other selection criteria ask applicants to describe a high-quality plan for all LEAs included in the application. For example, C1 asks for a high-quality plan for improving learning and teaching by personalizing the learning environment in order to provide all students the support to graduate college- and career-ready. While its proposal may include initiatives that apply to each LEA, we encourage a comprehensive narrative versus a fragmented, piecemeal approach.

# Selection Criteria The following application criteria require applicants to respond for each LEA in a consortium: (A)(4) LEA-wide goals for improved student outcomes (B)(1) Demonstrating a clear track record of success (B)(2) Increasing transparency in LEA processes, practices, and investments (B)(3) State context for implementation (B)(4) Stakeholder engagement and support (B)(5) Analysis of needs and gaps (D)(2) LEA and school infrastructure

The following are selection criteria that <u>explicitly</u> ask for information for each LEA.

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Jessica McKinney, from the Implementation and Support Unit, will now review the next portion of the webinar.

We'll now discuss the program and application requirements and the memorandum of understanding.

# **Program Requirements**

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(1) An applicant's budget request for all years of its project must fall within the applicable budget range as follows:

Number of participating students	Award range
2,000-5,000	\$5-10 million
or	
Fewer than 2,000, provided those students are served by a consortium of at least 10 LEAs and at least 75 percent of the students served by each LEA are participating students (as defined in this notice)	
5,001-10,000	\$10-20 million
10,001-25,000	\$20-30 million
25,001+	\$30-40 million

The Department will not consider an application that requests a budget outside the applicable range of awards, not including any optional budget supplements included in the application.

There are a few program requirements once grants are awarded. Today we just want to focus on the program requirement regarding the budget.

An applicant's budget request for all 4 years of its project must fall within the applicable budget range based on the number of participating students in the consortia's grant application.

Consortia applicants may serve fewer than 2,000 students provided that they are a consortium of at least 10 LEAs and at least 75 percent of the total number of students served by each LEA are participating students. In this instance, the Race to the Top - District budget request must fall between 5 and 10 million dollars.

The Department will not consider an application that requests a budget outside the applicable range of awards, not including any optional budget supplements an applicant submits.

# **Application Requirements**

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Application requirements for all applicants: individual LEA applicants and consortia:

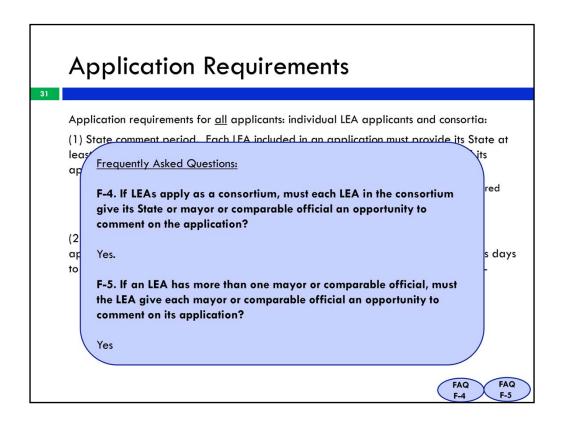
- (1) State comment period. Each LEA included in an application must provide its State at least 10 business days to comment on the LEA's application and submit as part of its application package--
  - (a) The State's comments or, if the State declined to comment, evidence that the LEA offered the State 10 business days to comment; and
  - (b) The LEA's response to the State's comments (optional).
- (2) Mayor (or city or town administrator) comment period. Each LEA included in an application must provide its mayor or other comparable official at least 10 business days to comment on the LEA's application and submit as part of its application package--
  - (a) The mayor or city or town administrator's comments or, if that individual declines to comment, evidence that the LEA offered such official 10 business days to comment; and
  - (b) The LEA's response to the mayor or city or town administrator comments (optional).



As part of its application, each LEA must provide its State and mayor or city or town administrator at least ten business days to comment on the LEA's application. With its application package, each LEA included in an application must submit the State's and mayor or city or town administrator's comments or evidence that the LEA offered those parties an opportunity to comment. LEAs may also submit their responses to those comments. LEAs in a consortium that are located in the same State can have the Lead LEA or eligible, legal entity submit the application to the State on behalf of the consortium.

The Department has not required a specific agency or office within the State that must comment on Race to the Top – District applications. LEAs should clarify with their State(s) to determine the appropriate agency or office within the State(s) (such as the Governor's office, State educational agency, or Attorney General's office) that will comment on Race to the Top – District applications.

At a minimum, these comments will be part of the evidence considered in B(3) and B(4).



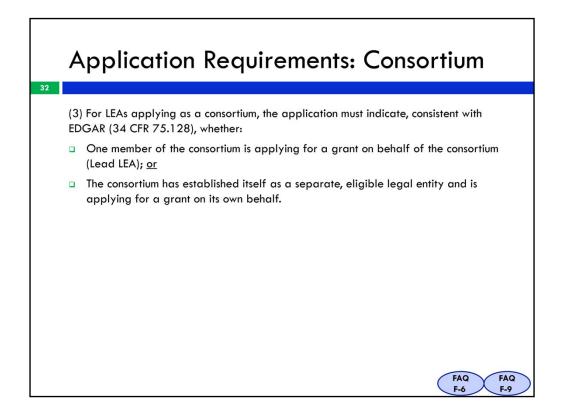
We wanted to highlight two FAQs that are particularly relevant for consortia applicants.

F-4 asks if LEAs apply as a consortium, must each LEA in the consortium give its State or mayor or comparable official an opportunity to comment on the application?

The answer is Yes.

F-5 asks if an LEA has more than one mayor or comparable official, must the LEA give each mayor or comparable official an opportunity to comment on its application?

The answer to this FAQ is also yes. Each mayor or comparable official must have an opportunity to comment on the application.



As mentioned earlier, a consortium applicant must indicate in its application whether one member of the consortium is applying for a grant on behalf of the consortium, meaning there is a Lead LEA for that consortium. Alternatively, the consortium can establish itself as a separate, eligible legal entity and apply for the grant on its own behalf.

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The application must be signed by--

- □ Lead LEA: If one member of the consortium is applying for a grant on behalf of the consortium, the application must be signed by the superintendent/CEO, local school board president, and local union/association president (where applicable) of that Lead LEA
- Legal representative: If the consortium has established itself as a separate, eligible legal entity and is applying for a grant on its own behalf, a legal representative of the consortium must sign the application.

If one member of the consortium is applying for a grant on behalf of the consortium, the application must be signed by the superintendent/CEO, local school board president, and local union/association president (where applicable) of <a href="mailto:that.lead.LEA.">that.lead.LEA.</a>

Alternatively, if the consortium has established itself as a separate, eligible legal entity and is applying for a grant on its own behalf, <u>a legal representative</u> of the consortium must sign the application.

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Memorandum of understanding (MOU):

- Consortium applicants must also include with the application copies of all MOUs or other binding agreements that describe the consortium governance structure (as defined) and the individual LEA's role in the structure, as well as bind each member of the consortium to every statement and assurance made in the application.
- Each LEA must submit an MOU signed by the superintendent/CEO, local school board president, and local union/association president (where applicable) of that LEA. If any LEA has more than one local teachers' union/association, that LEA should submit the signature from either a representative of the "exclusive agent," or a signature from the chair of a union/association roundtable.



Consortia applicants must also include copies of all memoranda of understanding (MOU) or other binding agreements that, among other things, binds each LEA to every statement and assurance made in the application. The MOU must be signed by the superintendent or CEO, local school board president, and local union/association president (where applicable) of that LEA. If any LEA has more than one local teachers' union/association, that LEA should submit the signature from either a representative of the "exclusive agent," or a signature from the chair of a union/association roundtable.

<u>Each</u> LEA in the consortium must execute an MOU. All MOUs must be included in the application.

We'll walk through the requirements of the MOU and the required application assurances over the next few slides.

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Include, consistent with EDGAR, for each LEA in the consortium, copies of all memoranda of understanding or other binding agreements related to the consortium. These binding agreements must--

- (i) Detail the activities that each member of the consortium plans to perform;
- (ii) Describe the consortium governance structure (as defined);
- (iii) Bind each member of the consortium to every statement and assurance made in the application; and
- (iv) Include an assurance signed by the LEA's superintendent or CEO that the LEA is committed to the four core educational assurance areas (as defined) as described in the eligibility requirements.

### Consistent with EDGAR, the MOUs must:

- (i) Detail the activities that each member of the consortium plans to perform;
- (ii) Describe the **consortium governance structure** (as defined in the notice);
- (iii) Bind each member of the consortium to every statement and assurance made in the application;

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Include, consistent with EDGAR, for each LEA in the consortium, copies of all memoranda of understanding or other binding agreements related to the consortium. These binding agreements must--

- (iv) Include an assurance signed by the LEA's superintendent or CEO that—
  - (A) The LEA, at a minimum, will implement no later than the 2014-2015 school year—
    - (1) A teacher evaluation system (as defined);
    - (2) A principal evaluation system (as defined); and
    - (3) A superintendent evaluation (as defined);
  - (B) The LEA is committed to preparing students for college or career, as demonstrated by—
    - (1) Being located in a State that has adopted college- and career-ready standards (as defined); or
    - (2) Measuring all student progress and performance against college- and career-ready graduation requirements (as defined);



The MOUs must also include assurances signed by each member of the consortium for the core educational assurance areas. These are the same requirements that we reviewed for the eligibility requirements. However, since only the Lead LEA or eligible, legal representative signs the application, all LEAs in a consortium must commit to the assurances through the MOU. This should be signed by the LEA superintendent or CEO and assures that:

- The LEA will implement a teacher, principal, and superintendent evaluation system by the 2014-2015 school year. Again, LEAs in a consortium do not need to implement the same teacher, principal, or superintendent evaluation system.
- 2) The LEA is committed to preparing students for college or career, as demonstrated by being located in a State that has adopted college- and career-ready standards or measuring all student progress and performance against college- and career-ready graduation requirements.

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Include, consistent with EDGAR, for each LEA in the consortium, copies of all memoranda of understanding or other binding agreements related to the consortium. These binding agreements must--

- (iv) Include an assurance signed by the LEA's superintendent or CEO that—
  - (C) The LEA has a robust data system that has, at a minimum—
    - (1) An individual teacher identifier with a teacher-student match;
    - (2) The capability to provide timely data back to educators and their supervisors on student growth (as defined);
  - (D) The LEA has the capability to receive or match student-level preschool through 12th grade and higher education data; and
  - (E) The LEA ensures that any disclosure of or access to personally identifiable information in students' education records complies with the Family Educational Rights and Privacy Act (FERPA); and
- (v) Be signed by the superintendent or CEO, local school board president, and local teacher union or association president (where applicable).

Each LEA must also sign an assurance that it has a robust data system with an individual teacher identifier with a teacher student match, and the capability to provide timely data back to educators and their supervisors on student growth. As stated earlier, consortia applicants are not required to create a single data system to share student-level data (as defined in the notice) among participating LEAs. We encourage LEAs to use existing data systems, such as an SLDS, if those systems enable the applicant to meet the relevant eligibility requirements. If a consortium applicant decides to create a single data system that would require student-level data sharing among participating LEAs, the system must comply with FERPA.

LEAs must also have the capability to receive or match student-level preschool through 12th grade and higher education data; and ensure that any disclosure of or access to personally identifiable information in students' education records complies with FERPA.

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- □ The Department has drafted a model MOU that may serve as a template for eligible LEAs that are considering entering into a consortium for the purpose of applying for a Race to the Top District grant; however, consortia are not required to use it. The purpose of the model MOU is to help to specify a relationship that is specific to the Race to the Top District competition. It is not meant to detail all typical aspects of consortia grant management or administration.
- At a minimum, each MOU must include the following key elements:
  - (i) terms and conditions
  - (ii) consortium governance structure
  - (iii) signatures

NOTE: The model MOU can be found in Appendix B of the NIA and Part XIV of the application.

To support consortia in working together effectively, the Department has drafted a model MOU that can be found in the application and Notice Inviting Applications. This model MOU may serve as a template for eligible LEAs that are considering entering into a consortium for the purpose of applying for a Race to the Top – District grant; however, consortia are not required to use it. They may use a different document that includes the key features noted in the model, and they should consult with their attorneys on what is most appropriate for their consortia.

The purpose of the model MOU is to help to specify a relationship that is specific to the Race to the Top – District competition. It is not meant to detail typical aspects of consortia grant management or administration. At a minimum, each MOU must include the following key elements, each of which is described in detail: (i) terms and conditions, (ii) consortium governance structure, and (iii) signatures.

Again, although applicants are not required to use the model MOU, you do need to submit a signed MOU for each participating LEA that includes the required information with your application.

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(i) Terms and conditions:

Each member of a consortium should sign a standard set of terms and conditions that includes, at a minimum, key roles and responsibilities of the applicant for the consortium (lead LEA) and member LEAs and assurances that make clear what the applicant and member LEAs are agreeing to do. The MOU, at a minimum, must:

- Designate one member of the group to apply for the grant or establish a separate legal entity to apply for the grant;
- Detail the activities that each member of the consortium plans to perform;
- Bind each member of the consortium to every statement and assurance made by the Applicant in the application;

I am now going to review some of the expectations in more detail.

In the terms and conditions, each member of a consortium should sign a standard set of terms and conditions that includes, at a minimum, key roles and responsibilities of the applicant for the consortium, which is the lead LEA, and member LEAs and assurances that make clear what the applicant and member LEAs are agreeing to do. In accordance with the requirements for consortia applicants in the Race to the Top – District Notice Inviting Applications and the requirements for group applicants under EDGAR, the MOU must:

- 1) Designate one member of the group to apply for the grant or establish a separate legal entity to apply for the grant;
- 2) Detail the activities that each member of the consortium plans to perform;
- 3) Bind each member of the consortium to every statement and assurance made by the Applicant in the application;

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- (i) Terms and conditions (continued):
- State that the applicant for the consortium (the lead LEA) is legally responsible for:
  - ☐ The use of all grant funds;
  - Ensuring that the project is carried out by the consortium in accordance with Federal requirements;
  - Ensuring that the indirect cost funds are determined as required under EDGAR;
  - Carrying out the activities it has agreed to perform; and
  - Using the funds that it receives under the MOU in accordance with the Federal requirements that apply to the Race to the Top – District grant;
- State that each member of the consortium is legally responsible for:
  - Carrying out the activities it has agreed to perform; and
  - Using the funds that it receives under the MOU in accordance with the Federal requirements that apply to the Race to the Top – District grant; and
- Contain all applicable assurances from each LEA.
- 4) State that the applicant for the consortium (the lead LEA) is legally responsible for:
  - a) The use of all grant funds;
  - b) Ensuring that the project is carried out by the consortium in accordance with Federal requirements;
  - c) Ensuring that the indirect cost funds are determined as required under 34 C.F.R. 75.564(e);
  - d) Carrying out the activities it has agreed to perform; and
  - e) Using the funds that it receives under the MOU in accordance with the Federal requirements that apply to the Race to the Top District grant;
- 5) State that each member of the consortium is legally responsible for:
  - a) Carrying out the activities it has agreed to perform; and
  - b) Using the funds that it receives under the MOU in accordance with the Federal requirements that apply to the Race to the Top District grant; and
- Contain the necessary assurances.

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### (ii) Consortium Governance Structure.

As stated in the notice, at a minimum, the governance structure must describe the consortium's structure for carrying out its operations, including:

- The organizational structure of the consortium and the differentiated roles that a member LEA may hold (e.g., lead LEA, member LEA);
- For each differentiated role, the associated rights and responsibilities (including rights and responsibilities for adopting and implementing the consortium's proposal for a arant):
- The consortium's method and process (e.g., consensus, majority) for making different types of decisions (e.g., policy, operational);
- The protocols by which the consortium will operate, including the protocols for member LEAs to change roles or leave the consortium;
- The consortium's plan for managing funds received under this grant;
- The terms and conditions of the memorandum of understanding or other binding agreement executed by each member LEA; and
- The consortium's procurement process, and evidence of each member LEA's commitment to that process.

As defined in the Notice Inviting Applications, at a minimum, the governance structure must describe the consortium's structure for carrying out its operations, including:

- The organizational structure of the consortium and the differentiated roles that a member LEA may hold (e.g., lead LEA, member LEA);
- For each differentiated role, the associated rights and responsibilities (including rights and responsibilities for adopting and implementing the consortium's proposal for a grant);
- The consortium's method and process (e.g., consensus, majority) for making different types of decisions (e.g., policy, operational);
- The protocols by which the consortium will operate, including the protocols for member LEAs to change roles or leave the consortium;
- The consortium's plan for managing funds received under this grant;
- The terms and conditions of the memorandum of understanding or other binding agreement executed by each member LEA; and
- The consortium's procurement process, and evidence of each member LEA's commitment to that process.

## Memorandum of Understanding (iii) Signatures: As stated in the notice, each MOU must be signed by each LEA's superintendent or CEO, local school board president, and local teacher union or association president (where applicable).

As stated in the Notice Inviting Applications, each MOU must be signed by each LEA's superintendent or CEO, local school board president, and local teacher union or association president (where applicable).

An applicant must submit all signed MOUs with its application.

## Recap: Signatures

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- The <u>application</u> must be signed by:
  - Lead LEA: If one member of the consortium is applying for a grant on behalf of the consortium, the application must be signed by the superintendent/CEO, local school board president, and local union/association president (where applicable) of that LEA
  - Legal representative: If the consortium has established itself as a separate, eligible legal entity and is applying for a grant on its own behalf, a legal representative of the consortium must sign the application.
- □ The memorandum of understanding (MOU) must be signed by:
  - Each LEA's superintendent or CEO, local school board president, and local teacher union or association president.

To review, the application must be signed by:

The superintendent/CEO, local school board president, and local union/association president (where applicable) of the <u>Lead LEA</u> if one member of the consortium is applying for a grant on behalf of the consortium

Or

The Legal representative if the consortium has established itself as a separate, eligible legal entity and is applying for a grant on its own behalf.

The <u>memorandum of understanding (MOU)</u> must be signed by each LEA's superintendent or CEO, local school board president, and local teacher union or association president.

# Agenda Overview of Race to the Top – District Competition Overview of the Notice Inviting Applications (NIA) Eligibility Requirements Absolute Priorities Selection Criteria Applying as a Consortium Program and Application Requirements Memorandum of Understanding Best Practices Questions

We will now discuss some best practices that we have learned from previous competitions.

## Best Practices: Governance and Project Management Some critical success factors for consortium governance Common vision and goals across members Clear roles, responsibilities, and decision-making processes Written agreements defining or clearly identifying the process for defining those roles, responsibilities, and decision-making processes Agreement on procurement practices up-front Strong internal and external communication, including established structures and protocols

Based on the Department's experience with other consortia grants, we recommend that applicants ensure they set themselves up for success when working in consortia. Some critical success factors include:

- Having a common vision and goals across members;
- Defining in writing clear roles, responsibilities, and decision-making processes, or specific processes for agreeing on those roles, responsibilities, and decision-making processes;
- Agreeing in advance on procurement practices. For example, members may need to be sure that their state and local laws and regulations allow for the kinds of joint procurement they anticipate, if any. Consortia should also establish which entity or entities will procure on behalf of the consortium and ensure that any entities involved in procurement have the experience and staff capacity to manage such joint procurement.
- On the procurement topic be sure to follow all Federal, State, and local procurement laws, regulations, and procedures. Often, those require that you not identify any contractors in advance of releasing a solicitation, so it is often helpful to omit any names of specific potential contractors from your completed proposal.
- Finally, communications, both internal and external, are also critical for success, and setting up strong structures and protocols in advance will help to facilitate that communication.

## Best Practices Questions to consider when forming a consortium: Do all members have a similar vision for the proposal? Has the consortium developed a coherent and comprehensive proposal? Do all members of the consortium understand how their work contributes to meeting the application goals, performance measures, and annual targets? How will the consortium track progress and make adjustments to ensure high quality implementation?

As you think about forming your consortium, it is important to consider the following questions:

- 1) Do all members have a similar vision for the proposal?
- 2) Has the consortium developed a coherent and comprehensive proposal? The proposal should not have a fragmented, piecemeal approach.
- 3) Do all members understand their contribution and responsibilities related to meeting the application goals, performance measures, and annual targets? All consortium members must work together to implement the proposal in a high-quality way.
- 4) Finally, how will the consortium track progress and make adjustments to ensure high quality implementation through the grant period?

We encourage consortia applicants to consider these questions carefully as you form consortia and develop your proposals.

## Agenda Overview of Race to the Top — District Competition Overview of the Notice Inviting Applications (NIA) Eligibility Requirements Absolute Priorities Selection Criteria Applying as a Consortium Program and Application Requirements Memorandum of Understanding Best Practices Questions

I will now turn it back to Ann Whalen who will respond to some of the questions we have received through the chat function.

## Questions

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- We will only be answering questions that are specific to consortia applicants.
- Please feel free to send in technical, clarifying, or logistics questions through the chat function. We are unable to answer questions about a specific approach or individual proposal.
- We will not answer individual questions through the chat function, however the questions we will answer will be provided over the audio portion of the conference to all participants.
- We will be muting the line periodically while we review the questions submitted through the chat function. We will return momentarily.
- If you have questions that are not addressed during the webinar or in the FAQs, please submit them by email to racetothetop.district@ed.gov.

As a reminder, we will only answer questions that are specific to consortia applicants on this webinar and we are unable to answer questions about a specific approach or individual proposal.

We will respond to all questions over the audio so all participants can hear the response.

As we review the questions, we may mute the line periodically. We will return momentarily and appreciate your patience.

## Resources Application Resources: Executive Summary Background on the Race to the Top – District Competition Race to the Top – District Application Frequently Asked Questions (FAQs) Notice Inviting Application (NIA) The Department conducted webinars on August 16 and 21, 2012 that provided an overview of the Race to the Top – District competition. Materials from that webinar are available at: http://www2.ed.gov/programs/racetothetop-district/resources.html Submit questions by email to: racetothetop.district@ed.gov Information on future webinars including completing the budget, updates to FAQs, and all other resources are available at:

To support Districts in completing the Race to the Top District application, the Department has released several documents that provide information about the program.

1) The Executive Summary provides key information and definitions from the Notice Inviting Applications.

www.ed.gov/programs/racetothetop-district

- 2) The background document explains how the program's priorities were developed and helps applicants understand the Department's approach to the competition.
- 3) The application includes all of the required components as well as detailed instructions for completing and submitting the application to the Department.
- 4) The Frequently Asked Questions documents include answers to common questions about the competition.
- 5) The Notice Inviting Applications is the regulatory document for the competition.

In addition, the Department conducted webinars on August 16 and 21, 2012 that provided an overview of the Race to the Top – District competition. Materials from those webinars are available on the Race to the Top – District website.

If you have any questions, please email racetothetop.district and we will respond as soon as possible.

The Department will also continue to update the FAQ document and will offer additional technical assistance resources over the next few months. Our next webinar will be focused on completing the budget portion of the application, including the narratives, tables, and

optional budget supplement, and will take place on September 12. More information about this webinar will be available on our website soon.

Again, all of this information will be able on the Race to the Top – District website.